

#3/UB
5/17/2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS
ORIGINALLY FILED

Patent application of: Alivisatos, A. Paul; Rockenberger, Joerg;

Serial Number: Unassigned

Group Art Unit: 1765

Filing Date: November 21, 2000

for : A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. section 1.97(b))

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. section 1.97(b).

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. section 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 23 Feb 2001

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Charles R. Nold
Patent Attorney

(type or print name of person certifying)

RECEIVED
MAY 08 2002
TC 1700

C R Nold 23 Feb 2001

Charles R. Nold
Registration No. 46470
Lawrence Berkeley National Laboratory
One Cyclotron Road, MS 90-1121
Berkeley, CA 94720
510-486-6503
Customer No. 008076

Practitioner's Docket No. IB-1576A

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Alivisatos, A. Paul; Rockenberger, Joerg

Application No.: 09/721,126

Group No.: 1754

Filed: 11/22/2000

Examiner: Bos, S.

For: Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

Assistant Commissioner for Patents
Washington, D.C. 20231

COPY OF PAPERS
ORIGINALLY FILED

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There are errors with respect to the following, some of which are incorrectly entered and some of which are omitted.
3. A request was filed on 4/16/02. That request inadvertently had the U.S. Serial Number for the parent case on the transmittal form. Therefore, another request is hereby being filed.

CERTIFICATION UNDER 37 C.F.R. § 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D.C. 20231
☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee" Mailing Label
No. _____

TRANSMISSION

- ☐ facsimile transmitted to the Patent and Trademark Office, 703 _____

Date: 7/26/02

Signature

Charles R. Nield
Type or print name of person certifying

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

Error in

1. Applicant's name
2. Applicant's name

Correct data

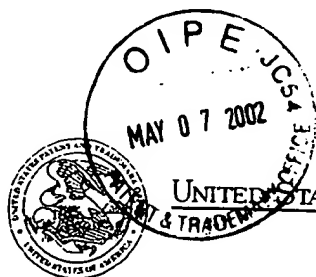
1. Alivisatos, A. Paul
- 2 Joerg Rockenberger

3. The corrections are not due to any error by applicant and no fee is due.

Date: 4/26/02

C R Nold

Charles R. Nold
Lawrence Berkeley National Laboratory
One Cyclotron Road
MS 90B
Berkeley, CA 94720



COPY OF PARTIAL
ORIGINALLY FILED

Page 1 of 3 *HM*

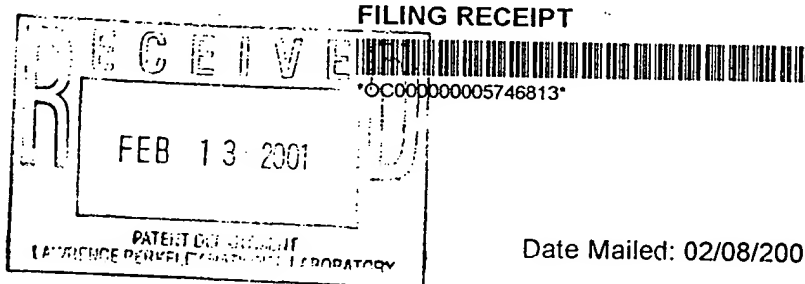
IB-1576-CIP

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/721,126	11/22/2000	1754	435	IB-1576- C.I.P.	9	16	5

~~Patent Counsel~~ Charles R. Nold
Lawrence Berkeley National Laboratory
One Cyclotron Road
MS 90-1121
Berkeley, CA 94720



Date Mailed: 02/08/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

~~Paul R. Martin, Berkeley, CA;~~

A. Paul Alivisatos, Berkeley, CA

Joerg Joerg Rockenberger, Berkeley, CA

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/162,299 10/28/1999

This Appln is a CIP of 09/702,219; filed 10/30/00; now allowed.

Foreign Applications

**** SMALL ENTITY ****

Title

Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

Preliminary Class

423

Data entry by : DILLON, LAWANDA

Team : OIPE

Date: 02/08/2001



08076

PATENT TRADEMARK OFFICE

Please type a plus sign (+) inside this box → ☒PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

Application Number

Unassigned

Filing Date

November 21, 2000

First Named Inventor

A. Paul Alivisatos

Group Art Unit

1765

Examiner Name

Unassigned

Total Number of Pages in This Submission
in References12
19

Attorney Docket Number

IB-1576CIP

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Additional Enclosures: 1. Return Receipt Postcard	
	2. Statement under 37 C.F.R. 3.73(b) establishing Assignee right	
	3. Declaration 37 C.F.R. 1.63, signed by inventors	
	4. Statement that applic. filed is the one inventor executed by signing the Declaration	
	5. 16 References cited on enclosed IDS; 6. IDS transmittal form	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Charles R. Nold; Lawrence Berkeley National Laboratory
Signature	<i>C. R. Nold</i>
Date	23 Feb 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 02/23/2001	
Typed or printed name	Charles R. Nold
Signature	<i>C. R. Nold</i>
Date	23 Feb 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



08076

PATENT TRADEMARK OFFICE

O/SB/21 (6-98)
MB 0651-0031
IF COMMERCE
ess it displays aPlease type a plus sign (+) inside this box → ☐Under the Paperwork Reduction Act of 1995, no per:
valid OMB control number.TRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

Application Number	09/721,126
Filing Date	November 21, 2000
First Named Inventor	A. Paul Alivisatos
Group Art Unit	1754
Examiner Name	Bos, S.
Total Number of Pages in This Submission	24
Attorney Docket Number	IB-1576A

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> RECEIVED
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	MAY 08 2002
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	TC 1/00
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Additional Enclosures: 1. Transmittal Form, 2. copy of original return receipt postcard 3. copy of original transmittal form filed 2/23/01 4. Statement under 37 C.F.R. 3.73(b) establishing Assignee right 4. Declaration under 37 C.F.R. 1.63, signed by inventors 5. Statement that applic. filed is the one inventor executed by signing the Declaration	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Charles R. Nold; Lawrence Berkeley National Laboratory
Signature	CR Nold
Date	4/26/02

COPY OF PAPERS
ORIGINALLY FILED

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 04/26/2002	
Typed or printed name	Charles R. Nold
Signature	CR Nold
Date	4/26/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



08076

PATENT TRADEMARK OFFICE

Receipt

Please type a plus sign (+) inside this box → ☒PTO/SB/21 (6-98)
0/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/721,126
	Filing Date	November 21, 2000
	First Named Inventor	A. Paul Alivisatos
	Group Art Unit	1754
	Examiner Name	Bos, S.
Total Number of Pages in This Submission	4	Attorney Docket Number IB-1576A

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div></div>
Remarks Additional Enclosures: 1. Request for Corrected filing receipt letter 2. marked up copy of original filing receipt		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Charles R. Nold; Lawrence Berkeley National Laboratory
Signature	<i>CA Nold</i>
Date	4/16/02

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 04/26/2002			
Typed or printed name	Charles R. Nold		
Signature	<i>CA Nold</i>	Date	4/16/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



08076

PATENT TRADEMARK OFFICE

PATENT

Practitioner's Docket No. IB-1576CIP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

The application of: Alivisatos, A. Paul; Rockenberger, Joerg

Application No.: Unassigned

Group No.: 1765

Filed: November 21, 2000

Examiner: Unassigned

For: A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Box Missing Part

Assistant Commissioner for Patents

Washington, D.C. 20231

COPY OF PAPERS
ORIGINALLY FILEDCOMPLETION OF FILING REQUIREMENTS
-- NONPROVISIONAL APPLICATION

I. This mailing is intended to complete filing requirements. As of the mailing date of this letter no notice of missing parts has been received.

DECLARATION OR OATH

II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

SMALL ENTITY STATUS

III. A statement that this filing is by a small entity was filed on October 30, 2000 (original).

RECEIVED
MAY 08 2002
PTC 1/00

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

FACSIMILE

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

☐ transmitted by facsimile to the Patent and Trademark Office at (703) ____ - ____.

Date: 231st b 2001

Signature

Charles R. Nold
Patent Attorney

(type or print name of person certifying)

COMPLETION FEES

IV.

1. Assignment (See "ASSIGNMENT COVER SHEET")	\$40.00
Total Completion Fees	\$40.00

EXTENSION OF TIME

V. The proceedings herein are for a patent application, and the provisions of 37 C.F.R. Section 1.136(a) apply.

Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VI. The total fee due is:

Completion fees	\$40.00
Extension fee (if any)	\$0.00
Total Fee Due	\$40.00

PAYMENT OF FEES

VII. Charge Account No. 120690 in the amount of 40.00.

A duplicate of this request is attached.

Please charge Account No. 120690 for any fees that may be due by this paper.

AUTHORIZATION TO CHARGE ADDITIONAL FEES

VIII. The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 120690.

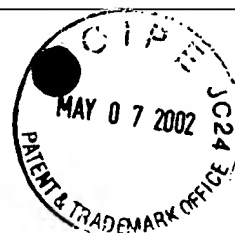
37 C.F.R. Section 1.16(e) (declaration on a date later than the filing date of the application)

Date: 2-3 Feb 2001

C. R. Nold

Charles R. Nold
Registration No. 46,470
Lawrence Bekeley National Laboratory
One Cyclotron Road, MS 90-1121
Berkeley, CA 94720
510-486 6503
Customer No. 008076

Practitioner's Docket No. IB-1576CIP



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: A. Paul Alivisatos et al.

Application No.: Unassigned

Group No.: 1765

Filed: November 21, 1000

Examiner: Unassigned

For: A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Assistant Commissioner for Patents

Washington, D.C. 20231

STATEMENT BY PRACTITIONER THAT APPLICATION FILED IN PTO
IS THE ONE INVENTOR EXECUTED BY SIGNING DECLARATION

COPY OF PAPERS
ORIGINALLY FILED

RECEIVED
MAY 08 2002
TC 1/00

CAN
2/25/01

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. section 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

FACSIMILE

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Charles R. Nold

Charles R. Nold
Patent Attorney

Date: 23 Feb 2001

(type or print name of person certifying)

(Statement by Practitioner That Application Filed in PTO Is the One Inventor Executed by Signing Declaration--page 1 of 2)

I,

Charles R. Nold
One Cyclotron Road, MS 90-1121
Berkeley, CA 94720
Reg. No. 46,470
Tel. No. 510-486-6503

state I am the registered practitioner for this application and the application identified above is the application that the inventor(s) executed by signing the declaration that is being submitted herewith.



SIGNATURE OF PRACTITIONER

Customer No.: 008076

Charles R. Nold
Patent Attorney

Copy of Rexon
Receipt
postcard
filed 2/23/01



COPY OF PAPERS
ORIGINALLY FILED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IB-1576CIP

APPLICANT(S):

A. Paul Alivasatos et al.

FOR:

A METHOD OF MAKING SURFACTANT CAPPEI
NANOCRYSTALS

Serial No.

Unassigned

Filing Date:

November 21, 2000

IN RECEIPT OF:

1. Transmittal Form; 2. Statement under 37 CFR 3.73(b)(2 pages); 3. Power of Attorney (2 pages); 4. Completion of Filing Requirements (3 pages); 5. Recordation Form Cover Sheet (1 page); 6. Assignment of Patent application (1 page); 7. Statement by Practitioner that applic. F in PTO is one inventor executed Dec on. (2 pages); 8. Declaration for Utility patent application 37 CFR 1.63 (3 pages); 9. IDS transmittal form, statement under CFR 1.97(b); (2 pages), 10. PTO Form 1449; 11. 16 references, 12. self addressed, stamped return receipt card.
DATED: 2/23/01

RECEIVED
MAY 08 2002
TC 1100